Requests for Information

The Office of Technology Services (OTS) must ensure timely and accurate response for all information requests. This requires all OTS staff understand the importance of the request and follow clear, consistent, and efficient processes.

Requests for Information are defined as any of the following:

- Audit Requests
- Public Records Requests
- Investigative / Discovery Requests
- Employee Relations Requests
- Legal Hold Notices

Protocols and Procedures

Because there are subtle but critical points to consider and account for while processing an information request, each member of OTS staff shall follow the protocols and procedures outlined below when receiving a Request for Information.

Audit Requests

Audit Requests

Audits may be received from many different sources:
- Louisiana Legislative Auditors
- Division of Administration Internal Auditors
- Agency internal auditors
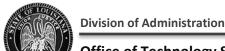- Federal Programs – IRS, SSA, AFS, etc.

To ensure proper coordination and response, any audit requests involving any IT service, application, technology partner, or OTS operational process must be sent to the Division of Administration's Internal Auditors (IA) and OTS Executive Management.

This process allows audit requests to be tracked and ensures that responses to audit requests are provided timely. This process will also ensure that consistent and accurate responses are provided to auditors on behalf of OTS.   The process will allow any overarching enterprise related issues to be identified and addressed.

Audit Responses

Prior to providing any response, OTS Staff shall ensure:

- The response to the audit request addresses the specific request being made and only that request.

- The response to the audit request has been reviewed by DOA Internal Auditors and approved by the CIO or his/her designee prior to being provided to the auditor.

<u>**Audit Meeting Requests**</u>

While attending, coordinating, or scheduling Audit related meetings, OTS Staff will ensure:

- Entrance or Exit conference meeting requests are forwarded to DOA's Internal Auditors and the CIO for coordination of attendance.
- All meetings include an agenda and documentation thereof.
- Any additional requests for detailed information during a meeting follow the process outline for Audit Requests.

DOA's Internal Auditors and the CIO should be notified immediately if during the course of a meeting with an auditor, one of the following occurs:
- An unusual or unexpected request is made by the auditor
- A request that does not appear to be appropriate that is made by the auditor.
- The purpose of the request made by the auditor is not clear.

While DOA's Internal Auditors and the CIO may not attend all meetings with auditors especially if the meeting is of a routine nature, if an OTS staff member has any concerns, issues, or is uncomfortable with requests made or information shared during a meeting with an auditor, the issues should be communicated to DOA's Internal Auditors and the CIO as needed.

Public Records Requests

Before any information is provided to facilitate a Public Records request, the request must first be reviewed and approved by the record's authorized custodian. This requires that all public records requests be sent to the Legal Department or Counsel for the appropriate Agency.

OTS Staff assisting in the processing of a Public Request must ensure it has been approved by the Agency and record owner.

Public Records requests should be initiated by an Agency's Legal Department or a member of the OTS Executive Management Team.

In the event that OTS Executive Management is not aware of a Public Records Request, notification of the request should be forwarded to OTS Executive Management that the request has been made and is being processed.

Investigative / Discovery Requests
Any request made from an external entity such as Federal, State, or Local Law Enforcement Agencies, or subpoenas requesting electronic data, audit logs, images, email, etc. shall be forwarded to the Chief Information Security Officer (CISO) prior to providing any information.

The CISO will assist in coordinating with the necessary Legal resources and ensuring that proper processes are followed for the extraction of any data or evidence in an accurate and timely manner.

Any questions or concerns related to the coordination of Evidence Requests should be sent to the CISO, Deputy-CIO, or CIO.

Employee Relations Requests

Any requests by Agency staff, including OTS staff, that involve an employee or an employee's access logs (internet, login, file access, etc.) must be directed to the Agency's appropriate HR contact.

Once HR has acknowledged, evaluated, and authorized an Employee Relations Request, HR will notify OTS Executive Management to coordinate and process a response to the request.

Should OTS Staff receive an Employee Relations Request directly from an HR staff member, OTS shall redirect the request to OTS Executive Management to ensure proper coordination. Any questions or concerns related to the coordination of this process should be sent to the Chief Information Security Officer, or CIO.

OTS Staff may only process an Employee Relations Request that has been approved by the appropriate HR resources.

OTS Staff may only provide the information requested to the assigned HR contact. The HR contact will provide the information to the individual as needed. The HR contact may also provide written authorization to the OTS Staff member to forward or send the information to the requester.

OTS Staff must also understand that while processing an Employee Relations Request, the nature of the request, including requests that are not approved, and the information provided to facilitate the request are considered confidential and may only be shared or discussed with others when it is operationally required to facilitate the request.

Legal Hold Requests / Notices

Any Legal Hold Requests, Notices, questions or concerns should immediately be sent to OTS Executive Management.

OTS executive Management will ensure proper action is taken and coordinate the proper resources as needed. (Ex. HR, Legal, Agency, etc.)